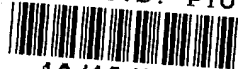


**Under 35 USC 111(a) and Rule 53(b)**

HC872 U.S. PTO  
10/006621  
13/10/01

J1131 U.S. PTO



**NONPROVISIONAL  
NON REISSUE  
NON PCT NAT PHASE**



00909

Title OPTICAL SYSTEM AND OPTICAL APPARATUS

Atty. Dkt.:	P 290437	OL98801N-US
	M#	Client Ref

Date: December 10, 2001

1. Specification: 67 pages (only spec. and claims) 2. ☐ Specification in non-English language  
3. Declaration ☒ Original ☐ Facsimile/Copy ☒ Abstract 1 page(s); 20 numbered claims  
4. ☒ Drawings: 11 sheet(s) ☐ informal; ☒ formal of size: ☒ A4 ☐ 11"  
5. ☒ See top first page re prior Provisional, National or International application(s). ("X" box only if info is there and do not complete item 6 or 7). (Prior M# SN )

6. This application claims benefit of the following prior US application(s), the contents of which are incorporated into this application by this reference:

No.	/	filed	_____
No.	/	filed	_____
No.	/	filed	_____
No. PCT	/	filed	_____, Which

designated the US and that International Application ☐ was ☐ was not published under PCT Article 21(2) in English

7. ☒ See the attached Preliminary Amendment, which amends the specification to claim benefit of the above listed US application(s)

8. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.  
9. ☐ Assignee (optional):

### Address

10. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

11. \_\_\_\_\_ (country)

Application No.	Filing Date	Application No.	Filing Date
(1) 2000-374085	December 8, 2000	(2)	
(3)		(4)	
(5)		(6)	
(7)		(8)	
(9)		<input type="checkbox"/> See 3 <sup>rd</sup> page for additional priorities	

12. 1 (No.) Certified copy (copies): ☒ attached; ☐ previously filed (date) \_\_\_\_\_  
in U.S. Application No. \_\_\_\_\_ / \_\_\_\_\_ filed on \_\_\_\_\_
13. Small entity status ☒ is not claimed; ☐ is claimed (Pre-filing confirmation required)
- 13(a). ☐ Attached: \_\_\_\_\_ (No.) Small Entity Statement(s) (since 9/8/00 small entity statement(s) not essential to make claim)
- 13(b). ☐ See **NONPUBLICATION REQUEST** under Rule 213(a) attached (Pat-258)

14. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(4)	
(2)		(5)	
(3)		(6)	

15. ☐ This application is being filed under Rule 53(b)(2) since an inventor is named in the enclosed Declaration who was not named in the prior application.

16. ☐ Attached:

17. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
18. Basic Filing Fee				\$740/\$370	\$740	101/201
19. Total Effective Claims	21	minus 20 =	*1	x \$18/\$9 =	+ 18	103/203
20. Independent Claims	3	minus 3 =	*0	x \$84/\$42 =	+ 0	102/202
*If answer is zero or less, enter "0"						
21. If any proper multiple dependent claim (ignore improper) is present, add (Leave this line blank if this is a reissue application)				+ \$280/\$140	+ 280	104/204
22. TOTAL FILING FEE ENCLOSED =					\$1038	
23. If "non-English" box 2 is X'd, add Rule 17(k) processing fee				+ \$130	+ 0	139
24. If "assignment" box 8 is X'd, add recording fee				+ \$40	+ 40	581
25. <input type="checkbox"/> Attached is a Petition/Fee under Rule No.				+ \$130	+ 0	122
26. TOTAL FEE ENCLOSED =					\$1078	

Our Deposit Account No. 03-3975

Our Order No. 9523

C#

290437

M#



00909

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficient fee only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown above for which purpose a duplicate copy of this sheet is attached.

**This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.**

**Pillsbury Winthrop LLP  
Intellectual Property Group**

By Atty: Glenn J. Perry

Reg. No. 28458

Sig:

Fax: (703) 905-2500

Tel: (703) 905-2161

Atty/Sec: gjp/dlh

NOTE: File in duplicate with 2 post card receipts (PAT-103) & attachments